



# UTAH AMBULATORY SURGICAL SUBMITTAL MANUAL

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# INTRODUCTION

In accord with R428-11, beginning January 1, 1997, data on selected ambulatory surgeries are to be collected and submitted to the Office of Health Care Statistics (OHCS). This manual defines which surgeries and what data items concerning those surgeries must be reported. The data are to be submitted for surgeries occurring in hospital outpatient departments, hospital-affiliated ambulatory surgery centers, and freestanding ambulatory surgery centers. At this time, surgical procedures performed as emergency treatment to those ill and injured persons who require immediate **unscheduled** surgical care (e.g., revenue codes 450-459) should **not** be reported to OHCS.

Section 1 of this manual provides an overview of the ambulatory database construction process and identifies the time lines mandated for each step of the process. Section 2 describes each data item to be collected. The information in Section 2 identifies the Uniform Billing form (UB-92) fields and Health Care Financing Administration form (HCFA-1500) items to be collected, how the items are coded and the edits that the Office of Health Care Statistics (OHCS) will perform on each item. Section 3 specifies the record layout. Section 4 describes the acceptable modes of data submission.

1. The following CPT-4 (Current Procedural Terminology) or ICD-9-CM (International Classification of Diseases, 9th Revision, Clinical Modification) surgical procedure codes are to be reported:

## TYPES OF SURGICAL SERVICE TO BE SUBMITTED IF PERFORMED IN OPERATING OR PROCEDURE ROOM

<u>DESCRIPTION</u>	<u>CPT- 4 CODES</u>	<u>ICD-9-CM PROCEDURE CODES</u>
Mastectomy	19120-19220	850-8599
Musculoskeletal	20000-29909	760-8499
Respiratory	30000-32999	300-3499
Cardiovascular	33010-37799	350-3999
Lymphatic/Hematic	38100-38999	400-4199
Diaphragm	39501-39599	<i>ICD9 Codes in Respiratory</i>
Digestive System	40490-49999	420-5499
Urinary	50010-53899	550-5999
Male Genital	54000-55899	600-6499
Female Genital	56405-58999	650-7199
Endocrine/Nervous	60000-64999	010-0799
Eye	65091-68899	080-1699
Ear	69000-69979	180-2099
Nose, Mouth, Pharynx	<i>CPT Codes in Musculoskeletal &amp; Respiratory</i>	210-2999
Heart Catheterization	93501-93660	<i>ICD9 Codes in Cardiovascular</i>

2. These surgeries are to be reported whether or not they were the principal procedure.
3. Any other procedures performed at the same time as the reportable surgeries should also be included.

**THIS MANUAL IS EFFECTIVE FOR AMBULATORY  
SURGERIES BEGINNING JANUARY 1, 2004.**

**Effective date: May 15, 2004**

Any comments or questions may be addressed to:

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## SECTION 1

### OVERVIEW AND TIME LINES

This section describes each step involved in constructing the statewide ambulatory surgery database, including data collection, editing, correction, and verification. Data are to be submitted quarterly.

#### **ONGOING DATA COLLECTION AND VERIFICATION**

- Step 1            OHCS has a statutory mandate to collect billing system-based data on selected ambulatory surgeries.
- Step 1A          Administrative Rule 428-11 is filed as R428-11 and describes time lines, reporting format, medium, and other specifications. Except where noted, the steps and time lines identified are required by statute and administrative rule.

#### **DATA SUBMISSION**

- Step 2            The data to be submitted are based on the surgeries occurring in a calendar quarter. The data submission schedule is as follows:

**Table 1  
Hospital and Ambulatory Surgical Facility  
Data Submittal Schedule**

<u>If Patient's Date of Discharge is Between:</u>	<u>Discharge Data Record is Due By:</u>
January 1, through March 31	May 15
April 1, through June 30	August 15
July 1 through September 30	November 15
October 1 through December 31	February 15

A record should be submitted for each surgical case, not for each procedure or each bill generated. Only selected items or aggregations of items from the billing system are to be submitted (as specified in Section 2, Data Elements and Their Edits).

All data should be submitted on computer media. Section 3, Record Layout specifies the record layout and characteristics required for data submitted on computer media.

- Step 2A          When the data for a quarter are submitted, they must be accompanied by a Transmittal Form. OHCS will supply facilities with the necessary transmittal form when requested. Facilities can submit their own transmittal form. The transmittal form must include the number of records in the file, the count of patients, the block size (where applicable), and the record length (see Section 4).

## **EDITS AND ERROR CORRECTIONS**

Step 3            OHCS will edit the data elements submitted on each individual patient record. The edits will identify erroneous or questionable items that require correction or verification by facilities. These edits generally consist of checking for missing items, invalid codes, or items that are inconsistent with other items on the same record. A list of errors or questionable data items discovered by the individual record level edits will be provided to facilities. This list will also serve as the means for returning data corrections or verifications to OHCS.

Each facility will have 35 calendar days after the receipt of this information to return corrections or verifications to OHCS. OHCS encourages facilities to edit their data prior to submitting the data in order to reduce the magnitude of the correction and/or verification activities during this thirty-five (35) day period. The thirty-five-day period is set by statute (26-33a, *Utah*). In order to make sure data are corrected before reports are generated, facilities are encouraged to make the corrections and submit them in time for receipt by OHCS before the end of the 35-day period.

## **FINAL REVIEW OF DATA BY FACILITIES**

Step 4            OHCS will correct the data based on a facility's response to the edits; construct a statistical profile of the facility's quarterly data; and send the profile to each facility CEO and designated contact person for their review.

Step 5            Each facility has thirty-five (35) calendar days after receipt to review its facility profile and to return corrections of any errors that may be uncovered by this review. The thirty-five-day period is set by statute (26-33a, *Utah*) and OHCS has no authority to extend it.

Step 5A           The facility's CEO or designee must, within the same 35 calendar day period identified in Step 5, affirm in writing that 1) the facility's data are accurate and complete; and 2) whether for all cases, the diagnoses and procedures have been verified by the attending physician (not required by statute). OHCS will supply facilities with the affirmation forms to be used for this step of the process.

## **FINAL DATA SET**

Step 6            After each facility has reviewed its profile, corrected any remaining errors, and submitted the CEO's affirmation statement, OHCS corrects the data file and prepares the data for release. OHCS creates a number of calculated or derived data items such as patient age, county, etc. At this point the data are released for general use within the guidelines provided by the administrative rules governing OHCS operations.

## SECTION 2

### DATA ELEMENTS AND THEIR EDITS

#### **ELEMENT NO. 1: FACILITY IDENTIFICATION NUMBER**

**Description:** An identifier that uniquely identifies each facility. The identifier used is the Federal Tax Number or the Federal Tax Number plus the Federal Tax Sub-ID Number. The use of the second component is a facility option. (*UB-92 Item Number 5; HCFA-1500 Item Number 25*).

**General Instructions:** This field is left justified with a length of 13 - 10 for the Federal Tax Number and 3 for the Federal Tax Sub-ID Number. The tax number is generally of the form "12-1234567." Whether or not the Sub-ID Number is used is a facility option. Parent corporations that operate more than one facility or at more than one location will need to use a separate Sub-ID Number or three digit text identification for each facility.

**Edits:** This element must be present and valid.

#### **ELEMENT NO. 2: PATIENT CONTROL NUMBER**

**Description:** The patient's unique number assigned by the facility to facilitate retrieval of individual case records. (*UB-92 Item Number 3; HCFA-1500 Item Number 26*).

**General Instructions:** The Patient Control Number may be any length up to a maximum of 17 characters. This element is required if the facility needs it to retrieve billing records or medical reports. The field should be right justified.

**Edits:** The element must be present for those facilities that indicate they need it to retrieve information for data corrections.

#### **ELEMENT NO. 3: PATIENT MEDICAL RECORD NUMBER**

**Description:** An identifier that uniquely identifies a patient in a way that allows information to be tracked back to the medical chart. (*UB-92 Item Number 23; HCFA-1500 Item Number 26*).

**General Instructions:** This field is right justified with a length of up to 17 characters.

**Edits:** This element must be present.

#### **ELEMENT NO. 4: PATIENT SOCIAL SECURITY NUMBER**

**Description:** The social security number of the patient receiving care. (*UB-92 Item Number 11b; HCFA-1500 Box 10d) (UHIN Standard #2).*

**General Instructions:** This field is to be left justified with spaces to the right to complete the field. The format of the SSN is 123456789 without hyphens. If a patient does not have a social security number, use the following codes:

200 for a patient who has no SSN,  
300 for a patient who chooses not to provide his/her SSN.

**Edits:** The field is edited for a valid entry.

#### **ELEMENT NO. 5: PATIENT ZIP CODE**

**Description:** The zip code of the patient's residence as given on the billing form. (*UB-92 Item Number 13; HCFA-1500 Item Number 5).*

**General Instructions:**

1. This element has a field length of five.
2. Residence zip code must be recorded for each patient.
3. In the case of nine-digit zip codes, only the first five digits should be reported.
4. For persons giving a residence outside the United States, the field should be zero filled.
5. For unknown zip codes, for example, homeless patients, the field should be left blank.

**Edits:**

1. A valid zip code must be present.
2. Zip codes in the range of 84001 through 84999 are validated against known Utah zip codes.

#### **ELEMENT NO. 6: PATIENT BIRTH DATE**

**Description:** Identifies the month, day and year of the patient's birth. (*UB-92 Item Number 14; HCFA-1500 Item Number 3).*

**General Instructions:**

1. This is an eight-digit code. It has the Form MMDDCCYY (Month, Day, Century, Year).
2. Month is recorded as a two-digit code ranging from 01 through 12.
3. Day of birth is recorded as a two-digit code ranging from 01 through 31.
4. Year and century of birth is recorded as a four-digit code. If only an age is known, estimate the year of birth.
5. Month and Day should be right justified within its two digits. Any unused space to the left should be zero filled. Example: February 7, 1901 would be recorded as 02071901.

- Edits:**
1. Date of birth must be present and valid.
  2. Date of birth cannot be after the procedure date.
  3. The age of the patient is checked for consistency with diagnostic codes. Consistency between age and diagnostic codes is determined by the annotations to the ICD-9-CM codes.

#### **ELEMENT NO. 7: PATIENT GENDER**

**Description:** The patient's gender (*UB-92 Item Number 15; HCFA-1500 Item Number 3*).

- General Instructions:**
1. This is a one-character code. Gender is to be recorded as male or female.
  2. Patient gender is coded as follows:

<u>Gender</u>	<u>Code</u>
Male	M
Female	F
  3. Whenever the diagnosis or procedure is gender-specific, the gender code must be consistent with the ICD-9-CM codes indicated.

- Edits:**
1. A valid code ('M' or 'F') must be present.
  2. The gender of the patient is checked for consistency with diagnosis and procedure codes. Consistency between gender and the indicated codes is determined by the annotations to the ICD-9-CM codes.

#### **ELEMENT NO. 8: ADMISSION DATE**

**Description:** The date the patient was admitted to the facility for outpatient surgery (*UB-92 Item Number 17*).

**General Instructions:** The admission date is to be entered as six digits as month, day, and year. The format is MMDDYY. The month is recorded as two digits ranging from 01 through 12. The day is recorded as two digits ranging from 01 through 31. The year is recorded as two digits ranging from 00 through 99. Each of the three components (month, day, year) must be right justified within its two digits. Any unused space to the left must be zero filled. For example February 7, 1992 is entered as 020792.

**Edits:** Admission date must be present and a valid date. The date cannot be before date of birth or be after ending date in "Statement Covers Period" field.

#### **ELEMENT NO. 9: SOURCE OF ADMISSION**

**Description:** A code indicating the source of the admission (*UB-92 Item Number 20*).

**General Instructions:** This is a single digit code describing the source from which the patient was referred. instructions: Source of Admission codes 1 through 9 are valid. The code structure is as follows:

1 = Physician Referral

Description: The patient was admitted to this facility upon the recommendation of his or her personal physician. (See code 3 if the physician has an HMO affiliation.)

- 2 = Clinic Referral  
Description: The patient was admitted to this facility upon recommendation of this facility's clinic physician.
- 3 = HMO Referral  
Description: The patient was admitted to this facility upon the recommendation of a health maintenance organization (HMO) physician.
- 4 = Transfer from a Hospital  
Description: The patient was admitted to this facility as a transfer from an acute care facility where he or she was an inpatient.
- 5 = Transfer from a Skilled Nursing Facility  
Description: The patient was admitted to this facility as a transfer from a skilled nursing facility where he or she was an inpatient.
- 6 = Transfer from Another Health Care Facility  
Description: The patient was admitted to this facility as a transfer from a health care facility other than an acute care facility or skilled nursing facility. This includes transfers from nursing homes, long term care facilities and skilled nursing facility patients that are at a non-skilled level of care.
- 7 = Emergency Room  
Description: The patient was admitted to this facility upon the recommendation of this facility's emergency room physician.
- 8 = Court/Law Enforcement  
Description: The patient was admitted to this facility upon the direction of a court of law, or upon the request of a law enforcement agency representative.
- 9 = Information Not Available  
Description: The means by which the patient was admitted to this hospital is not known.

**Edits:** The code must be present and valid and agree with the Type of Admission code entered.

#### **ELEMENT NO. 10: PATIENT'S DISCHARGE STATUS**

**Description:** A code indicating patient status as of the statement covers through date. Generally, indicates the arrangement or event ending a patient's stay in the hospital (*UB-92 Item Number 22*).

**General Instructions:** This is a code with a length of two bytes. The patient's status is coded as follows:

- 01 = Discharge to home or self care, routine discharge.
- 02 = Discharge/transferred to another short-term general hospital
- 03 = Discharge/transferred to skilled nursing facility
- 04 = Discharge/transferred to an intermediate care facility
- 05 = Discharged/transferred to another type of institution.
- 06 = Discharge/transferred to home under care of organized home health service organization
- 07 = Left against medical advice or discontinued care
- 08 = Discharged/transferred to home under care of a home IV provider
- 20 = Expired
- 30 = Still patient (will be excluded from the database)
- 40 = Expired at home
- 41 = Expired in a medial facility; i.e., hospital, ASC.

42 = Expired - place unknown  
 50 = Discharged/transferred to hospice - home  
 51 = Discharged/transferred to hospice – medical facility  
 61 = Discharged/transferred within institution to hospital based Medicare swing bed  
 62 = Discharged/transferred to another rehab facility including distinct part units in hospital  
 63 = Discharged/transferred to a long term care hospital  
 64 = Discharged/transferred to a nursing facility certified under Medicaid but not certified under Medicare  
 71 = Discharged/transferred/referred to another institution for outpatient (as per plan of care)  
 72 = Discharged/transferred/referred to this institution for outpatient services (as per plan of care)  
 09 = Unknown  
 Blank = Not Reported

**Edits:** The patient status code must be present and a valid code as defined.

#### **ELEMENT NO. 11: DISCHARGE DATE**

The ending date of procedure/service must be present and recorded in six digit format of month day year (MMDDYY).

#### **ELEMENT NO. 12: PRINCIPAL DIAGNOSIS CODE**

**Description:** The condition established, after study, to be chiefly responsible for causing the treatment of the patient (*UB-92 Item Number 67; HCFA-1500 Item Number 21-1*).

- General Instructions:**
1. Enter the appropriate code that describes the principal diagnosis of the patient. Enter code left justified without decimals. This field is never right filled with zeros.
  2. Diagnoses are coded according to the International Classification of Diseases, 9th Revision, Clinical Modification (ICD-9-CM).
  3. In the ICD-9-CM there are three-digit, four-digit, and five-digit codes. **Use of the fourth or fifth digit is not optional.** If they are present in the ICD-9-CM, they must be used or the code will be rejected as invalid.
  4. This element has a field length of 5.

- Edits:**
1. A principal diagnosis must be present and valid.
  2. Whenever the principal diagnosis is gender-specific, the patient gender must be consistent with the ICD-9-CM code. Consistency is determined by the annotations to the ICD-9-CM code.
  3. Whenever the principal diagnosis is age-specific, the patient age must be consistent with the ICD-9-CM code. Consistency is determined by the annotations to the ICD-9-CM code.
  4. These fields are never right-filled with zeros
  5. Screening will be conducted for codes that are not usually used as principal diagnoses. This will be determined by the Medicare Code Edits annotations to the ICD-9-CM code. OHCS should be notified of known, valid exceptions to the Medicare Edits so that unnecessary edit listings will not be sent to the facility for review.

## **ELEMENT NO.'S 13-20: OTHER DIAGNOSIS CODES**

**Description:** Other diagnoses must be reported only if the diagnoses contribute to the substantiation of total charges. Up to eight other diagnoses can be reported (*UB-92 Item Numbers 68-75; HCFA-1500 Item Numbers 21-2 through 21-4*).

- General Instructions:**
1. Enter the appropriate codes that describe the other diagnoses of the patient. Enter codes left justified and without decimals. These fields are never right filled with zeros.
  2. *For the UB-92 form*, in the ICD-9-CM there are three-digit, four-digit, and five-digit codes. **Use of the fourth or fifth digit is not optional.** If they are present in the ICD-9-CM, they must be used or the code will be rejected as invalid.
  3. These elements each have a field length of 5.

- Edits:**
1. Whenever other diagnoses are gender-specific, the patient gender must be consistent with the ICD-9-CM. Consistency is determined by the annotations to the ICD-9-CM codes.
  2. Whenever other diagnoses are age-specific, the patient age must be consistent with the ICD-9-CM. Consistency is determined by the annotations to the ICD-9-CM codes.
  3. Other diagnoses must be valid ICD-9-CM codes.

## **ELEMENT NO. 21: CPT-4 WITH MODIFIERS 1<sup>st</sup> OR PRINCIPLE PROCEDURE CODE**

**Description:** The Current Procedural Terminology CPT-4 code or principal procedure code is a procedure that was performed for definitive treatment rather than for diagnostic or exploratory purposes, or which was necessary to take care of a complication. The principal procedure is usually that procedure most related to the principal diagnosis (*HCFA-1500 Item Number 24D(1)*).

- General Instructions:**
1. Enter the appropriate code that describes the principal procedure performed. **Enter codes left justified without decimals. This field is never right filled with zeros.** This element has a field length of 9. The CPT-4 code occupies the first 5 digits and modifiers occupy the last 4 digits, depending on the number of modifiers. .
  2. The HCFA-1500 procedures are coded according to CPT-4. This coding book is revised annually.
  3. When more than one procedure is reported, the 1st or principle procedure must be designated. In determining which of several procedures is the principal procedure, the following criteria apply:
    - a. The 1st or principal procedure is one that was performed for definitive treatment rather than for diagnostic or exploratory purposes, or was necessary to take care of a complication.
    - b. The principal procedure is that procedure most related to the principal diagnosis.
  4. This data element must be present if other procedures are reported.

5. Whenever the principal procedure is gender-specific, the gender that is coded must be consistent with the CPT-4 code indicated.
6. For the HCFA-1500, CPT-4 codes are five digits in length with up to two modifiers for each CPT-4 code. Each modifier has two digits **with no dashes**.

- Edits:**
1. The principal procedure code, if gender-specific, must be consistent with the gender of the patient. Gender specific CPT-4 codes (54000-55899, 76870, 76872 for males and 56000-59899, 74710-76949 for females) are checked for consistency.
  2. The principal procedure must be a valid CPT-4 code.

#### **ELEMENTS NO. 22-26: OTHER CPT-4 PROCEDURE CODES**

**Description:** Additional procedures performed during the principal operative episode which may include diagnostic or exploratory procedures. Up to five other procedures can be reported (*HCFA-1500 Item Number 24D(2) though (6)*).

- General Instructions:**
1. Enter the appropriate code that describes the other procedures performed. **Enter codes left justified without decimals. These fields are never right filled with zeros.** These elements have a field length of 9. The CPT-4 code occupies the first 5 digits and modifiers occupy the last 4 digits, depending on the number of modifiers.
  2. If more than one procedure is reported, the 1st procedure cannot be blank.
  3. Whenever the other procedure is gender-specific, the gender that is coded must be consistent with the CPT-4 code indicated.
  4. For the HCFA-1500, CPT-4 codes are five digits in length with up to two modifiers for each CPT-4 code. Each modifier has two digits with **no dashes**.

- Edits:**
1. Other procedure codes, if gender-specific, must be consistent with the gender of the patient. Gender specific CPT-4 codes (54000-55899, 76870, 76872 for males and 56000-59899, 74710-76949 for females) are checked for consistency.
  2. Other procedure codes must be a valid CPT-4 code.

#### **ELEMENT NO. 27: DATE OF CPT-4 1<sup>st</sup> OR PRINCIPLE PROCEDURE**

**Description:** The principal procedure date is the year, month and day the principal procedure was performed for the corresponding definitive treatment (*UB-92 Item Number 80; HCFA-1500 Item Number 24A(1)*).

- General Instructions:**
1. Principal procedure date is a six-digit code. It has the form MMDDYY (Month, Day, Year).
  2. Month is recorded as a two-digit code ranging from 01 through 12.
  3. Day of procedure is recorded as a two-digit code ranging from 01 through 31.
  4. Year of procedure is recorded as a two-digit code ranging from 00 through 99.
  5. Each of the three components (Month, Day and Year) should be right justified within its two digits. Any unused space to the left should be zero filled. Example: February 7,

1994 would be recorded as 020794.

- Edits:**
1. Procedure date cannot be before birth date.
  2. Procedure date must fall in the three-month range of each data submission quarter.

#### **ELEMENT NO. 28: PROCEDURE CODING METHOD USED**

**Description:** An indicator that identifies the coding method used for procedure coding. If ICD-9 procedures only, but not CPT-4, are reported the number 9 should be entered.

**General** The default value should be number 4 for CPT-4. If coding method is NOT CPT-4  
**Instructions:** enter appropriate code from the list:

- 3 = DSM-III-R
- 4 = CPT-4
- 5 = HCPCS (HCFA Common Procedure Coding System)
- 9 = ICD-9-CM

**Edits:** This field must agree with coding method used to code procedures.

#### **ELEMENT NO.29: STATEMENT COVERS PERIOD**

- Beginning Date	N	192-197	6
- Through Date	N	198-203	6

**Description:** The beginning and ending service dates of the patient's care. The ending date is the discharge date (*UB-92 Item Number 6*).

**General** The two dates are to have MMDDYY formats and the through date must be the date of  
**Instructions:** discharge unless the Type of Billing field indicates an interim record. The months are recorded as two digits ranging from 01 through 12. The days are recorded as two digits ranging from 01 through 31. The years are recorded as two digits ranging from 00 through 99. Each of the three components of both dates (month, day, year) must be right justified within its two digits. Any unused space to the left must be zero filled. For example February 7, 2002 through March 1, 2002 is entered as 020702030102.

**Edits:** These dates must be present and be valid.

#### **ELEMENT NO. 30: TOTAL CHARGES**

**Description:** Enter total charges for services (total of all charges). Right justified. In the form DDDDDDDCC with no decimal. (*UB-92 Item Number 47; HCFA-1500 Item Number 28*).

### **ELEMENT NO. 31: PRIMARY PAYER**

#### **Payer's Identification**

**Description:** Name and if required by payer a number identifying the primary payer organization from which the hospital or surgery center might expect some payment for the bill. (*UB-92 Item Number 50A; HCFA-1500 Item Number 11c*).

**General Instructions:** This field is to contain the complete name of the primary payer organization. The name should be spelled out as completely as space allows. If a name has more than 25 characters use abbreviations that can be used to uniquely identify the organization.

**Edits:** The name must be that of a verifiable organization.

### **ELEMENT NO. 32: SECONDARY PAYER**

#### **Payer's Identification**

**Description:** Name and if required by payer a number identifying the secondary payer organization from which the hospital or surgery center might expect some payment for the bill. (*UB-92 Item Number 50B; HCFA-1500 Item Number 9d*).

**General Instructions:** This field is to contain the complete name of the secondary payer organization, if applicable. The name should be spelled out completely when space allows. If a name has more than 25 characters, use abbreviations that can be used to uniquely identify the organization.

**Edits:** The name must be that of a verifiable organization.

### **ELEMENT NO. 33: THIRD PAYER**

**Description:** Name and if required by payer a number identifying the tertiary payer organization from which the hospital or surgery center might expect some payment for the bill. (*UB-92 Item Number 50C*).

**General Instructions:** This field is to contain the complete name of the tertiary payer organization, if applicable. The name should be spelled out completely when space allows. If a name has more than 25 characters, use abbreviations that can be used to uniquely identify the organization.

**Edits:** The name must be that of a verifiable organization

### **ELEMENT NO. 34: PERFORMING PHYSICIAN ID**

**Description:** The Utah Medical License Number of the physician who performed the principal procedure listed on the claim. **Only doctors of medicine and doctors of osteopathy are considered physicians.** (*UB-92 Item Number 83A*).

**General Instructions:**

1. The Utah Medical License Number of the physician who performed the principal procedure listed on the claim.
2. Only the license number should be reported, not the name.
3. Prefixes to the license number (such as T, LT, etc.) must be included.

4. Only the license number of physicians should be reported.
5. If primary responsibility for the patient is in the hands of a non-physician care giver, then this field should be blank filled. Examples can include dentist, psychologist, nurse midwife, podiatrist and chiropractor.
6. This element has a field length of 12.

**Edits:** This element must be present and valid.

#### **ELEMENT NO. 35: OTHER PHYSICIAN ID**

**Description:** The Utah Medical License number of the other physician who performed the principal procedure listed on the claim. **Only doctors of medicine and doctors of osteopathy are considered physicians** (*UB-92 Item Number 83B*).

- General Instructions:**
1. The Utah Medical License Number of the other physician who performed the principal procedure listed on the claim.
  2. Only the license number should be reported, not the name.
  3. Prefixes to the license number (such as T, LT, etc.) must be included.
  4. Only the license number of physicians should be reported.
  5. If primary responsibility for the patient is in the hands of a non-physician care giver, then this field should be zero filled. Examples can include dentist, psychologist, nurse midwife, podiatrist and chiropractor.
  6. This element has a field length of 12.

**Edits:** This element must be present and valid.

#### **ELEMENT NO. 36: TYPE OF BILL**

**Description:** This element is indicative of the type of patient (*UB-92 Item Number 4*).

**General Instructions:** This is a three-digit field and is used to separate inpatient from ambulatory surgery records when both patient types are submitted together. This field should always be coded "999" for ambulatory surgeries.

**Edits:** Only bill type "999" should appear on ambulatory records.

#### **ELEMENT NO. 37: ICD9 1<sup>ST</sup> OR PRINCIPLE PROCEDURE CODE**

**Description** The ICD9 principal procedure code is a procedure that was performed for definitive treatment rather than for diagnostic or exploratory purposes, or which was necessary to take care of a complication. The principal procedure is usually that procedure most related to the principal diagnosis (*UB-92 Item Number 80*).

- General Instructions:**
1. Enter the appropriate code that describes the principal procedure performed. **Enter codes left justified without decimals. This field is never right filled with zeros.** This element has a field length of 4. ICD-9-CM occupies up to 4 digits.
  2. For the UB-92, procedures are coded according to the ICD-9-CM. This coding book is revised annually.
  3. When more than one procedure is reported, the 1st or principle procedure must be designated. In determining which of several procedures is the principal procedure, the following criteria apply:
    - a. The 1st or principal procedure is one that was performed for definitive treatment rather than for diagnostic or exploratory purposes, or was necessary to take care of a complication.
    - b. The principal procedure is that procedure most related to the principal diagnosis.
  4. This data element must be present if other procedures are reported.
  5. Whenever the principal procedure is gender-specific, the gender that is coded must be consistent with the ICD-9-CM code indicated.
  6. For the UB-92, in the ICD-9-CM there are three-digit procedure codes (unsubdivided three-digit categories) and four-digit procedure codes. **Use of the fourth digit is not optional.** If it is present in ICD-9-CM, it must be used or the code will be rejected as invalid.
- Edits:**
1. The principal procedure code, if gender-specific, must be consistent with the gender of the patient. Consistency is determined by the annotations to the ICD-9-CM codes. Gender specific ICD9 codes are checked for consistency.
  2. The ICD9 principal procedure must be a valid ICD-9-CM code.

#### **ELEMENTS NO. 38-42: OTHER ICD9 PROCEDURE CODES**

**Description:** Additional procedures performed during the principal operative episode which may include diagnostic or exploratory procedures. Up to five other procedures can be reported (*UB-92 Item Numbers 81(A) through (E)*).

- General Instructions:**
1. Enter the appropriate code that describes the other procedures performed. **Enter codes left justified without decimals. These fields are never right filled with zeros.** These elements have a field length of 4. ICD-9-CM occupies up to 4 digits.
  2. If more than one procedure is reported, the 1st procedure cannot be blank.
  3. Whenever the other procedure is gender-specific, the gender that is coded must be consistent with the ICD-9-CM code indicated.
  4. For the UB-92, in the ICD-9-CM there are three-digit procedure codes (unsubdivided three-digit categories) and four-digit procedure codes. **Use of the fourth digit is not optional.** If it is present in ICD-9-CM, it must be used or the code will be rejected as invalid.
- Edits:**
1. Other procedure codes, if gender-specific, must be consistent with the gender of the patient. Consistency is determined by the annotations to the ICD-9-CM codes. Gender specific ICD9 codes are checked for consistency. Other procedure codes must be a valid ICD-9-CM code.

## SECTION 3

### AMBULATORY SURGERY RECORD LAYOUT

Element Number	UB-92 Form #	HCFA 1500 #	Position	Length	Description / Comments	Right or Left Justified
1	5	25	01-10 11-13	10 3	<u>Facility Identification #</u> Federal Tax ID # Federal Tax Sub-ID #	Left
2	3	26	14-30	17	Patient Control Number (Optional)	Right
3	23	26	31-47	17	Patient Medical Record Number	Right
4	11b	10d	48-56	9	Patient Social Security Number	Left
5	13	5	57-61	5	Patient Zip Code (Must be valid zip code)	Right
6	14	3	62-69	8	Patient Birth Date (date form MMDDCCYY) Zero fill MM & DD. Valid date.	Right
7	15	3	70	1	Patient Gender (values 'M' or 'F')	
8	17		71-76	6	Admission Date (date form MMDDYY)	Right
9	20		77	1	Source of Admission (Values '1' thru '9' - See Section 2 for code definition)	
10	22		78-79	2	Patient's Discharge Status (See Section 2 for code definition)	Right
11			80-85	6	Discharge Date (date form MMDDYY)	Right
12	67	21(1)	86-90	5	Principal Diagnosis Code ICD-9-CM code. No decimal.	Left
13	68	21(2)	91-95	5	1st Other Diagnosis Code ICD-9-CM code. No decimal.	Left
14	69	21(3)	96-100	5	2nd Other Diagnosis Code ICD-9-CM code. No decimal.	Left
15	70	21(4)	101-105	5	3rd Other Diagnosis Code ICD-9-CM code. No decimal.	Left
16	71		106-110	5	4th Other Diagnosis Code ICD-9-CM code. No decimal.	Left
17	72		111-115	5	5th Other Diagnosis Code ICD-9-CM code. No decimal.	Left
18	73		116-120	5	6th Other Diagnosis Code ICD-9-CM code. No decimal.	Left

Element Number	UB-92 Form #	HCFA 1500 #	Position	Length	Description / Comments	Right or Left Justified
19	74		121-125	5	7th Other Diagnosis Code ICD-9-CM code. No decimal.	Left
20	75		126-130	5	8th Other Diagnosis Code ICD-9-CM code. No decimal.	Left
21	80	24D(1)	131-139	9	Principal Procedure CPT-4 with modifiers	Left
22	81A	24D(2)	140-148	9	1st Other Procedure CPT-4 with modifiers	Left
23	81B	24D(3)	149-157	9	2nd Other Procedure CPT-4 with modifiers	Left
24	81C	24D(4)	158-166	9	3rd Other Procedure CPT-4 with modifiers	Left
25	81D	24D(5)	167-175	9	4th Other Procedure CPT-4 with modifiers	Left
26	81E	24D(6)	176-184	9	5th Other Procedure CPT-4 with modifiers	Left
27	80	24A(1)	185-190	6	Date of CPT-4 or Principal Procedure Date form MMDDYY. Zero fill MM & DD. Valid Date.	Right
28			191	1	Procedure Coding Method Used (See Section 2 for codes)	
29	6		192-197 198-203	6 6	<u>Statement covers period:</u> Beginning date (MMDDYY) Through date (MMDDYY)	Right
30	47	28	204-212	9	Total Charges (In the form DDDDDDDCC <b>With no decimal point</b> ) D = Dollars / C = Cents	
31	50A	11c	213-237	25	Primary Payer	
32	50B	9d	238-262	25	Secondary Payer	
33	50C		263-287	25	Third Payer	
34	82	17a	288-299	12	Performing Physician ID (Valid Physician ID)	Left
35	83A		300-311	12	Other Physician ID (Valid Physician ID)	Left
36	4		312-314	3	Type of Bill	Right
37	80	24D(1)	315-318	4	Principal Procedure ICD-9-CM with no decimal	Left

<b>Element Number</b>	<b>UB-92 Form #</b>	<b>HCFA 1500 #</b>	<b>Position</b>	<b>Length</b>	<b>Description / Comments</b>	<b>Right or Left Justified</b>
38	81A	24D(2)	319-322	4	1st Other Procedure ICD-9-CM with no decimal	Left
39	81B	24D(3)	323-326	4	2nd Other Procedure ICD-9-CM with no decimal	Left
40	81C	24D(4)	327-330	4	3rd Other Procedure ICD-9-CM with no decimal	Left
41	81D	24D(5)	331-334	4	4th Other Procedure ICD-9-CM with no decimal	Left
42	81E	24D(6)	335-338	4	5th Other Procedure ICD-9-CM with no decimal	Left

## SECTION 4

### ACCEPTABLE MODES OF DATA SUBMISSION

#### A. Tape and Disk Formats:

##### **9 Track Tape**

1600, 6250 bpi  
EBCDIC, ASCII  
314 record length  
31,400 block size (maximum)  
no label

##### **IBM Tape Cartridge (IBM-3480 Drive)**

314 record length  
EBCDIC, ASCII  
31,400 block size (maximum)  
no label

##### **IBM PC/Compatible**

3 1/2" 1.44MB PC/MS-DOS Format

##### **ZIP Drive**

ASCII File

##### **CD-ROM Drive (PREFERRED METHOD)**

ASCII File

For data files spanning multiple disks, one of the following options must be used:

PKZIP, latest version accessible to facility. The PKZIP version used to create the file must be specified on the transmittal form.

Records must be separated by Return and Line Feed Characters. (ASCII decimal values 13 & 10)

All magnetic media must have a transmittal form describing the number of records in the file, the count of patients, the block size (where applicable), and the record length.

#### B. Data submission via modem may be arranged. Contact OHCS

**REQUEST FOR: ' EXEMPTION, ' EXTENSION OR ' WAIVER**  
**(Please indicate which)**

**To:**

**Utah Health Data Committee  
c/o Office of Health Care Statistics  
P.O. Box 144004  
Salt Lake City, Utah 84114-4004  
Phone: (801) 538-7048**

Please complete each section of this form. If more space is needed, use additional pages following the format indicated.

**Requested by:**

<b>Name:</b>
<b>Address:</b>
<b>Contact Person:</b>
<b>Telephone:</b>

## Relief Requested

**(Describe: include specific requirement - submittal schedule, data consolidation, etc.)**

**Request:**

**Request:**

**Time Period Request Would Cover?**

<b>Starting date:</b>	<b>Ending date:</b>
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(Maximums: Exemption 1 year, Extension 30 calendar days, Waiver 1 year)

### Justification for Granting This Request

<b>Facts:</b>
<b>Reasons:</b>
<b>Legal Authority:</b>
<b>Proposed Alternative:</b>
<b>Other Comments:</b>

**Action by Health Data Committee:**

<b>Date:</b>	<b>Approved '</b>	<b>Disapproved '</b>
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**Additional Conditions or Suggestions:**